



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Oded Gottesman)
Serial No.: 09/811,187) Examiner: Not Assigned
Filed: March 16, 2001) Art Unit: 1395
For: **REW PARAMETRIC VECTOR**)
QUANTIZATION AND DUAL-)
PREDICTIVE SEW VECTOR)
QUANTIZATION FOR WAVEFORM)
INTERPOLATIVE CODING)
Docket No.: 1279-316-10102207)

#5
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SECOND REQUEST FOR CORRECTED FILING RECEIPT

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Application Processing Division, Customer Correction Branch, Washington, DC 20231.

Date: July 6, 2001


NANCY NOLEN

July 6, 2001
865 South Figueroa Street, 29th Floor
Los Angeles, California 90017-2576

Assistant Commissioner for Patents
Application Processing Division
Customer Correction Branch
Washington, DC 20231

Sir:

For the second time, Applicant hereby petitions the Assistant Commissioner for Patents to correct an error in the official Updated Filing Receipt as follows:

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AUG 20 2001
TECHNOLOGY CENTER 3000

The Updated Filing Receipt again reflects an incorrect spelling of applicant's name:

"ODED GOTTSMAN"

The correct spelling should read:

"ODED GOTTESMAN"

A photocopy of the Updated Filing Receipt with the correction noted thereon is attached, as well as a copy of the first Request for Corrected Filing Receipt with attachments filed on May 4, 2001, and a copy of the originally-filed Recordation Form Cover Sheet and Assignment with the inventor's name correctly spelled.

Correction of the official records of the above-identified patent application and issuance of a corrected Filing Receipt is respectfully solicited.

The incorrect spelling of the Applicant's name is the fault of the Patent and Trademark Office and, therefore, no fee is believed due in connection with this communication. However, if it is determined that a fee is due, please charge such fee to Deposit Account No. 50-0337.

Respectfully submitted,



Terri L. Sale
Registration No. 45,068

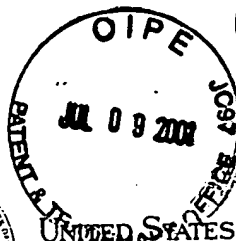
Telephone: (213) 892-9307
Facsimile: (213) 680-4518
Docket No.: 1279-316-10102207

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UNITED STATES PATENT AND TRADEMARK OFFICE

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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/811,187	03/16/2001	3739	1395	1279-316	10	35	24

CONFIRMATION NO. 6680

Terri L. Sale, Esq.
FULBRIGHT & JAWORSKI L.L.P.
29th Floor
865 South Figueroa Street
Los Angeles, CA 90017-2576

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JUL 02 2001

FULBRIGHT & JAWORSKI

UPDATED FILING RECEIPT



OC000000006239689

Date Mailed: 06/28/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) Gottesman
Oded Gottesman, Goleta, CA;
Allen Gersho, Goleta, CA;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/190,371 03/17/2000

Foreign Applications

If Required, Foreign Filing License Granted 04/23/2001

Projected Publication Date: 10/04/2001

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

REW parametric vector quantization and dual-predictive SEW vector quantization for waveform interpolative coding

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AUG 20 2001
TECHNOLOGY CENTER 3700

RECEIVED
OCT 16 2001
Technology Center 2600

Preliminary Class
600

Data entry by : MOGUSS, ZENEBEWORK

Team : OIPE

Date: 06/28/2001

~~_____~~



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Oded Gottesman)

) Examiner: Not Assigned

Serial No.: 09/811,187)

) Art Unit: 1330

Filed: March 16, 2001)

For: **REW PARAMETRIC VECTOR
QUANTIZATION AND DUAL-
PREDICTIVE SEW VECTOR
QUANTIZATION FOR WAVEFORM
INTERPOLATIVE CODING**

Docket No.: 1279-316-10102207)

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REQUEST FOR CORRECTED FILING RECEIPT

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Application Processing Division, Washington, DC 20231.

Date: May 4, 2001

Nancy Nolen
NANCY NOLEN

May 4, 2001

865 South Figueroa Street, 29th Floor
Los Angeles, California 90017-2576

Assistant Commissioner for Patents
Application Processing Division
Customer Correction Branch
Washington, DC 20231

Sir:

Applicant hereby petitions the Assistant Commissioner for Patents to

correct an error in the official Filing Receipt as follows:

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The Filing Receipt reflects an incorrect spelling of applicant's name:

"ODED GOTTSMAN"

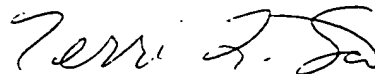
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The incorrect spelling of the Applicant's name is the fault of the Patent and Trademark Office and, therefore, no fee is believed due in connection with this communication. However, if it is determined that a fee is due, please charge such fee to Deposit Account No. 50-0337.

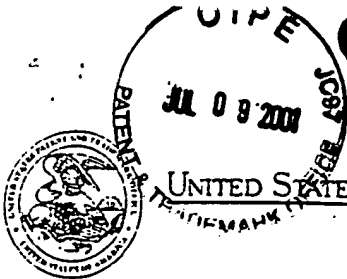
Respectfully submitted,



Terri L. Sale
Registration No. 45,066

Telephone: (213) 892-9307
Facsimile: (213) 680-4518
Docket No.: 1279-316-10102207

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UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/811,187	03/16/2001	3739	1330	1279-316	10	35	24

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CONFIRMATION NO. 6680

FULBRIGHT & JAWORSKI L.L.P.
 29th Floor
 865 South Figueroa Street
 Los Angeles, CA 90017-2576

APR 30 2001

FULBRIGHT & JAWORSKI

FILING RECEIPT



OC000000006000235

Date Mailed: 04/24/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Gottesman
 Oded Gottesman, Residence Not Provided;
 Allen Gersho, Residence Not Provided;

DOCKETED FOR

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/190,371 03/17/2000

Foreign Applications

If Required, Foreign Filing License Granted 04/23/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ******RECEIVED**

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 AUG 20 2001
 TECHNOLOGY CENTER 3100
Title

REW parametric vector quantization and dual-predictive SEW vector quantization for
 waveform interpolative coding

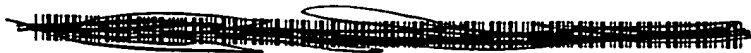
Preliminary Class

600

Data entry by : YEMANE, SHEWAYE

Team : OIPE

Date: 04/24/2001





LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

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- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:



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PATENTS ONLY

Locket No.: 1279-310

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Oded Gottesman
Allen Gersho

COPY

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: March 14, 2001

2. Name and address of receiving party(ies):

Name: The Regents of the University of California

Internal Address:

Street Address: 1111 Franklin Street, 5th Floor

City: Oakland State: CA ZIP: 94607

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is: March 16, 2001

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Terri L. Sale, Esq., Reg. No. 45,066

Internal Address: FULBRIGHT & JAWORSKI L.L.P.

Street Address: 865 South Figueroa Street, 29th Floor

City: Los Angeles State: CA ZIP: 90017

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☒ Authorized to be charged to deposit account

8. Deposit account number:

50-0337

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Terri L. Sale, Esq.

Terri L. Sale

March 16, 2001

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document:

3

ASSIGNMENT

COPY

U.C. Case No. 2000-302-1

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Oded Gottesman

2. Allen Gersho

hereby sells, assigns and transfers to ASSIGNEE, the Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin St., 5th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled: REW PARAMETRIC VECTOR QUANTIZATION AND DUAL-PREDICTIVE SEW VECTOR QUANTIZATION FOR WAVEFORM INTERPOLATIVE CODING

- (a) U.S. provisional filed herewith and listing the above named inventors
(b) X U.S. patent application filed herewith and listing the above named inventors

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California, executed this

Signature of Inventor(s)

14 day of March, 2001

Oded Gottesman

Oded Gottesman

 day of , 2001

Allen Gersho

FROM : BRIAN GERSHO

03/14/2001 10:17

PHONE NO. : 1 510 482 2457

Mar. 14 2001 12:46PM P2

MAR-08-01 13:01 FROM:

10

PAGE 2/3

COPY

ASSIGNMENTU.C. Case No. 2000-302-1

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Oded Gertman2. Allen Gersho

hereby sells, assigns and transfers to ASSIGNEE, the Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin St., 5th Floor, Oakland, CA 94607, 5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled: REW PARAMETRIC VECTOR QUANTIZATION AND DUAL PREDICTIVE SEW VECTOR QUANTIZATION FOR WAVEFORM INTERPOLATIVE CODING

- (a) U.S. provisional filed herewith and listing the above named inventors
 (b) ☒ U.S. patent application filed herewith and listing the above named inventors

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California, executed this

Signature of Inventor(s)

____ day of _____, 2001

14 day of March, 2001Oded GertmanAllen Gersho

Allen Gersho

FILE COPY

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov



Bib Data Sheet

CONFIRMATION NO. 6680

SERIAL NUMBER 09/811,187	FILING DATE 03/16/2001 RULE	CLASS 600	GROUP ART UNIT 3739	ATTORNEY DOCKET NO. 1279-316
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APPLICANTS

Oded Gottesman, Goleta, CA;
Allen Gersho, Goleta, CA;

**** CONTINUING DATA *******

THIS APPLN CLAIMS BENEFIT OF 60/190,371 03/17/2000

**** FOREIGN APPLICATIONS *******

IF REQUIRED, FOREIGN FILING LICENSE GRANTED** SMALL ENTITY **

** 04/23/2001

Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY CA	SHEETS DRAWING 10	TOTAL CLAIMS 35	INDEPENDENT CLAIMS 24
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged	Examiner's Signature	Initials		

ADDRESS

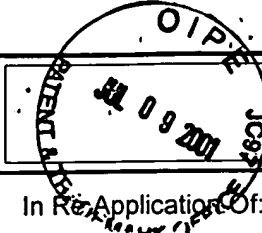
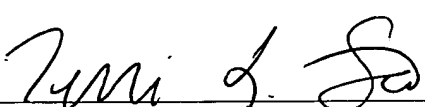
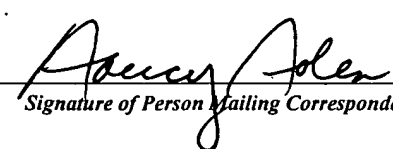
Terri L. Sale, Esq.
FULBRIGHT & JAWORSKI L.L.P.
29th Floor
865 South Figueroa Street
Los Angeles, CA 90017-2576

TITLE

REW parametric vector quantization and dual-predictive SEW vector quantization for waveform interpolative coding

FILING FEE RECEIVED 1395	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
		<input type="checkbox"/> 1.16 Fees (Filing)
		<input type="checkbox"/> 1.17 Fees (Processing Ext. of time)
		<input type="checkbox"/> 1.18 Fees (Issue)
		<input type="checkbox"/> Other _____
		<input type="checkbox"/> Credit

Receipt

		TRANSMITTAL LETTER (General - Patent Pending)		Docket No. 1279-316	
In Re: Application Of: Oded Gottesman and Allen Gersho					
Serial No. 09/811,187		Filing Date March 16, 2001		Examiner To be assigned	
				Group Art Unit 3739	
Title: REW PARAMETRIC VECTOR QUANTIZATION AND DUAL-PREDICTIVE SEW VECTOR QUANTIZATION FOR WAVEFORM INTERPOLATIVE CODING					
RECEIVED OCT 16 2001					
Technology Center 2600					
<u>TO THE ASSISTANT COMMISSIONER FOR PATENTS:</u>					
Transmitted herewith is: SECOND REQUEST FOR CORRECTED FILING RECEIPT WITH COPY OF FILING RECEIPT WITH CORRECTION NOTED THEREON, AND COPY OF FIRST REQUEST FOR CORRECTED FILING RECEIPT WITH ATTACHMENTS FILED MAY 4, 2001 AND COPY OF THE ORIGINALLY-FILED RECORDATION FORM COVER SHEET AND ASSIGNMENT; AND COPY OF ORIGINALLY-FILED RECORDATION FORM COVER SHEET AND ASSIGNMENT; AND POSTAGE PRE-PAID RETURN RECEIPT POSTCARD					
in the above identified application.					
<input checked="" type="checkbox"/> No additional fee is required. <input type="checkbox"/> A check in the amount of _____ is attached. <input checked="" type="checkbox"/> The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0337 as described below. A duplicate copy of this sheet is enclosed.					
<input type="checkbox"/> Charge the amount of _____ <input type="checkbox"/> Credit any overpayment. <input checked="" type="checkbox"/> Charge any additional fee required.					
 Signature			Dated: JULY 6, 2001		
Terri L. Sale, Esq., Reg. No. 45,066 FULBRIGHT & JAWORSKI L.L.P. 865 South Figueroa Street, 29th Floor Los Angeles, CA 90017-2576 Telephone: 213/892-9200 Facsimile: 213/680-4518			RECEIVED AUG 20 2001 TECHNOLOGY CENTER 3700		
cc: DOCKETING			<div style="border: 1px solid black; padding: 5px;"> I certify that this document and fee is being deposited on July 6, 2001 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.  Signature of Person Mailing Correspondence Nancy Nolen Typed or Printed Name of Person Mailing Correspondence </div>		